

# Welsh Information Governance Toolkit User Guide

**PECYN CYMORTH LLYWODRAETHU GWYBODAETH CYMRU**  
**WELSH INFORMATION GOVERNANCE TOOLKIT**



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## Introduction

Welcome to the **New Welsh Information Governance Toolkit (IG Toolkit)**. The IG Toolkit is a self-assessment that enables organisations to measure their level of compliance against national Information Governance standards and legislation to ascertain whether information is handled and protected appropriately within the organisation.

The assessment aims to help identify those areas which require improvement and assists in informing the organisation's IG Action Plan. It will also provide reassurance to staff, patients, and other healthcare organisations that their information is processed securely and appropriately.

The Welsh IG Toolkit is accessible directly via the [IG Website](#) or through the [Caforb Platform](#).

## Users and Registration

There are three user types, [Organisation Administrator](#), [Users](#) and [Read-Only Users](#).

### Organisation Administrator

The Organisation Administrator is the 'superuser' for the organisation. It is expected that the Organisation Administrator will hold a senior role within the Organisation, for example Head of Information Governance.

The Organisation Administrator has the ability to complete and submit the IG Toolkit and is responsible for maintaining the Organisation Profile, Creating Users and controlling access to the Organisation's IG Toolkit Form.

Only one Organisation Administrator can be set up for each organisation. If changes need to be made to the Organisation Administrator for your organisation, please contact the [Welsh IG Toolkit Team](#).

To register for an account as an Organisation Administrator visit the [Caforb Platform](#) site and select 'Register'.

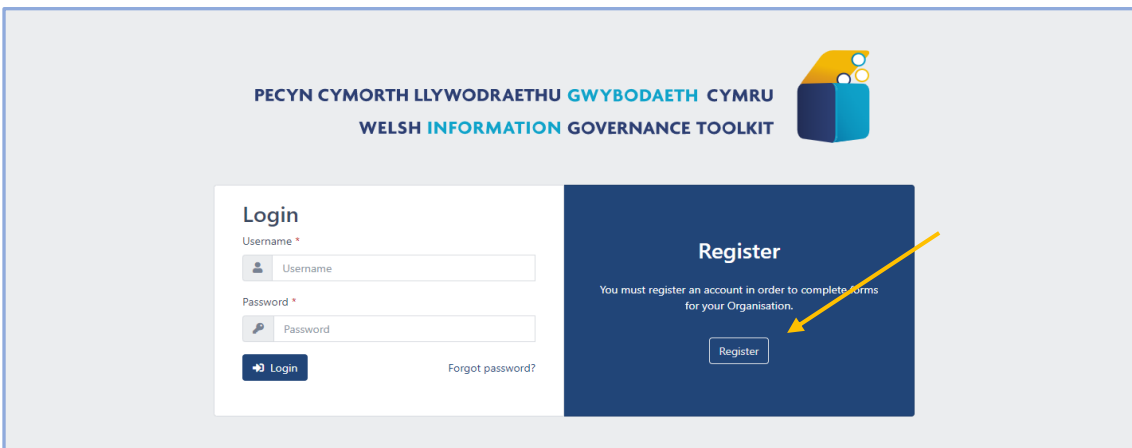


Image 1: Caforb Platform Login and Registration Screen

Complete the fields within the 'Your account' form with the required information. The email address you enter during the registration process will become your 'Username' when accessing the platform.

Continue through to 'Organisation details', search for your organisation using either your organisation name or code, you will need to enter at least two characters to activate the search function. Select your organisation from the list, this will auto populate the organisation details on the righthand side of the form.



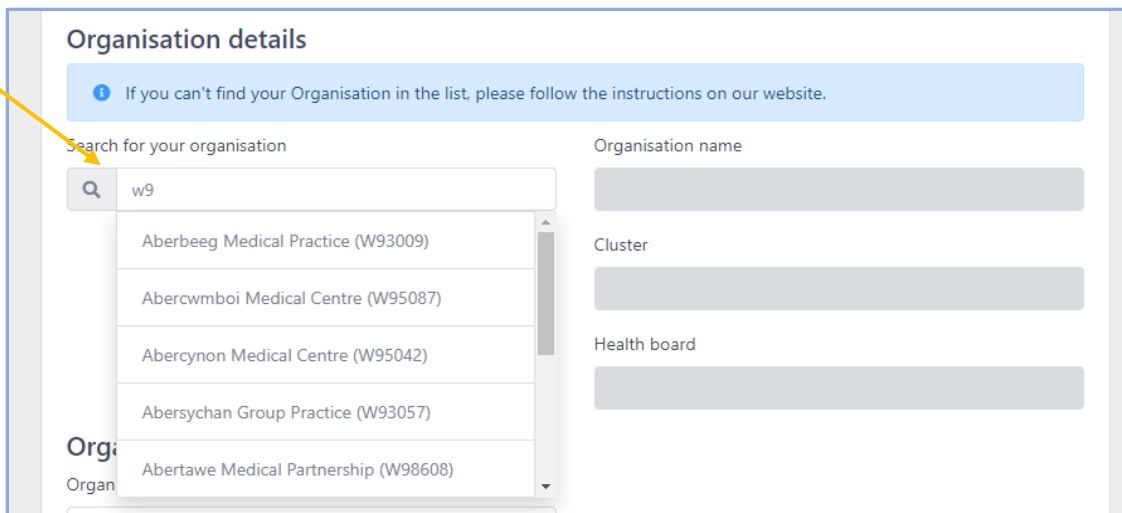


Image 2: Caforb Registration Process – Organisation Search

If you are unable to find your organisation, please contact the [Welsh IG Toolkit Team](#).

Only one Organisation Administrator can be set up for each organisation, if an Organisation Administrator has already been registered for an organisation, a triangle will appear next to the organisation name in the search results. You will not be able to register an additional Administrator in this way. Please contact the [Welsh IG Toolkit Team](#) if you need to set up a replacement Administrator.

Continue through the form to complete the ‘Organisation profile’, these fields are not mandatory, however we do encourage you to complete these during the registration stage.

Once complete, select ‘Register’. A member of the Toolkit Team will review all account requests promptly. Once your account has been approved you will receive another email from Caforb Manager providing a link for you to set your password. Your password must be at least 11 characters in length and weak passwords will not be accepted.

Once you have set your password you will be able to log in to the platform using the email address used in the registration process as your username.

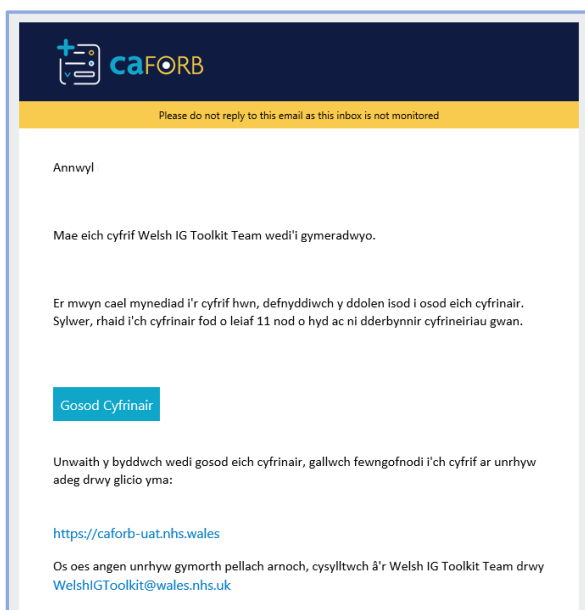


Image 3: Registration Approval Email – Set password



If you require organisation administrator rights to more than one organisation, please contact the [Welsh IG Toolkit Team](#).

## Users

Users have the ability to populate and submit the IG Toolkit form for their organisation.

The Organisation Administrator can set up users for their organisation within 'Organisation Management'. The amount of user accounts permitted by an organisation is not limited. To create a new user, navigate to 'Organisation Management', within the 'Users' tab, select 'Create user'. Please note: organisation management is only available to Organisation Administrators.

Complete the required fields in the pop-up window and select 'User' in the Role box. Review the details and select 'Create'. The User will be sent an email to set their password.

Only new users can be created in this way, if you require a user to be added to your organisation who already has an account associated to their email address, please contact the [Welsh IG Toolkit Team](#).

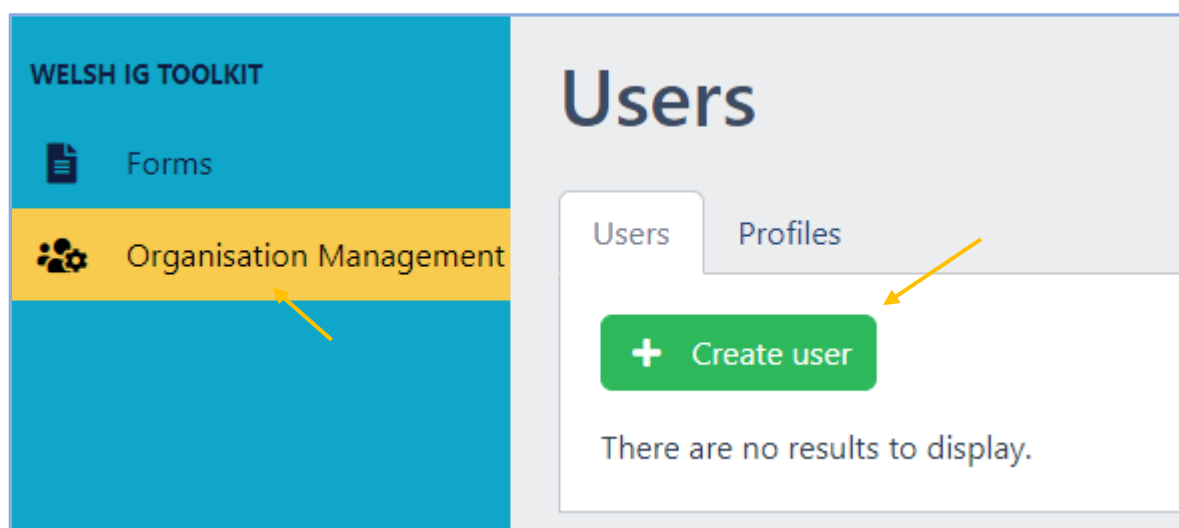


Image 4: Create additional users

## Read Only Users

Read Only Users can review the organisation's IG Toolkit Form, including answers and any uploaded evidence. Read Only Users cannot make any changes to or submit the form. The Organisation Administrator can set up Read Only Users using the process described above for creating users, however in the 'Role' field, select 'Read only user'.

Again, only new users can be created in this way, if you require a read only user to be added to your organisation who already has an account associated to their email address, please contact the [Welsh IG Toolkit Team](#).

## Resetting or changing password

If you have forgotten your password, you can reset this yourself by accessing the log in page, click the 'Forgot password?' underneath the password box. After following the instructions, you will receive an email asking you to reset it.



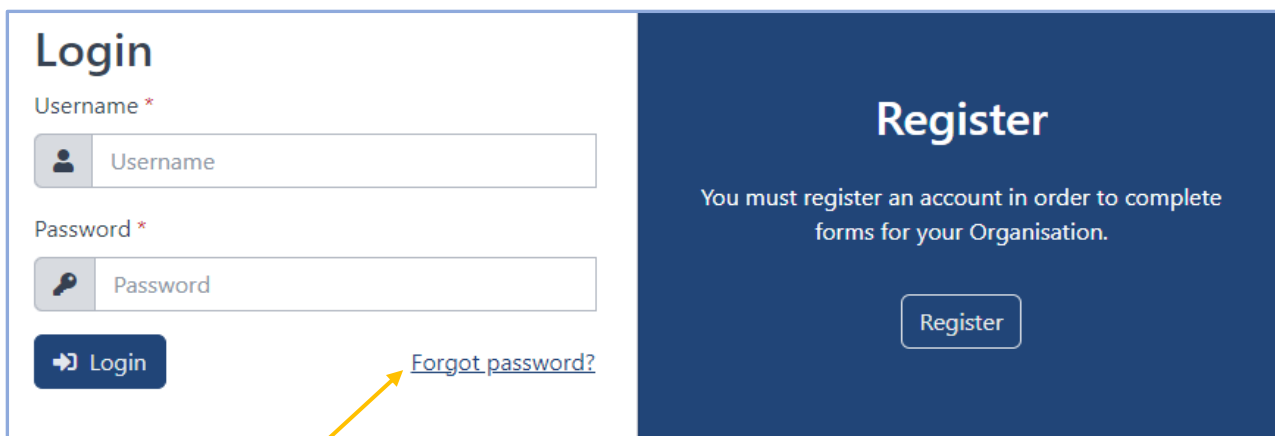


Image 5: Login Page

The Organisation Administrator can also issue an email to users for them to reset their password. To do this the Organisation Administrator will need to click on Organisation Management on the left-hand side toolbar and select the Users tab. Once you have found the User click the drop-down arrow on the right of the 'Edit' button and select reset password.

## Welsh Information Governance Toolkit Form

### Access

When you first [log in to the platform](#) you will be presented with the forms that are available for you to complete.

Navigate to the form titled **Welsh Information Governance Toolkit** and select 'Launch'.

The majority of users will only have access to one form for one organisation, however this may vary if more than one organisation is affiliated to a user's account or if another assessment applies.

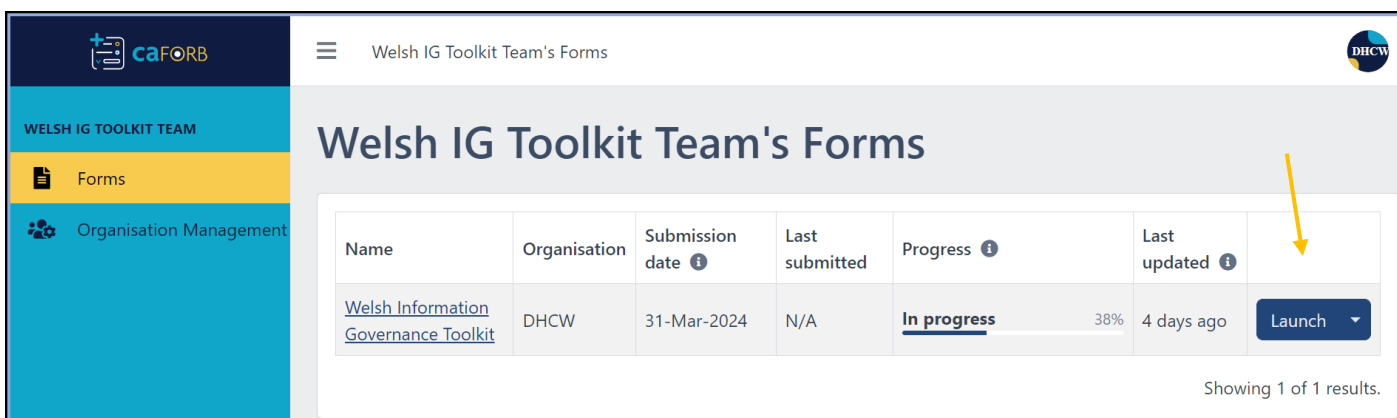


Image 6: Welsh Information Governance Toolkit – Launch form

## Navigation Menu

When the form is launched, you will be presented with the [Dashboard](#) and the navigation menu to the lefthand side.



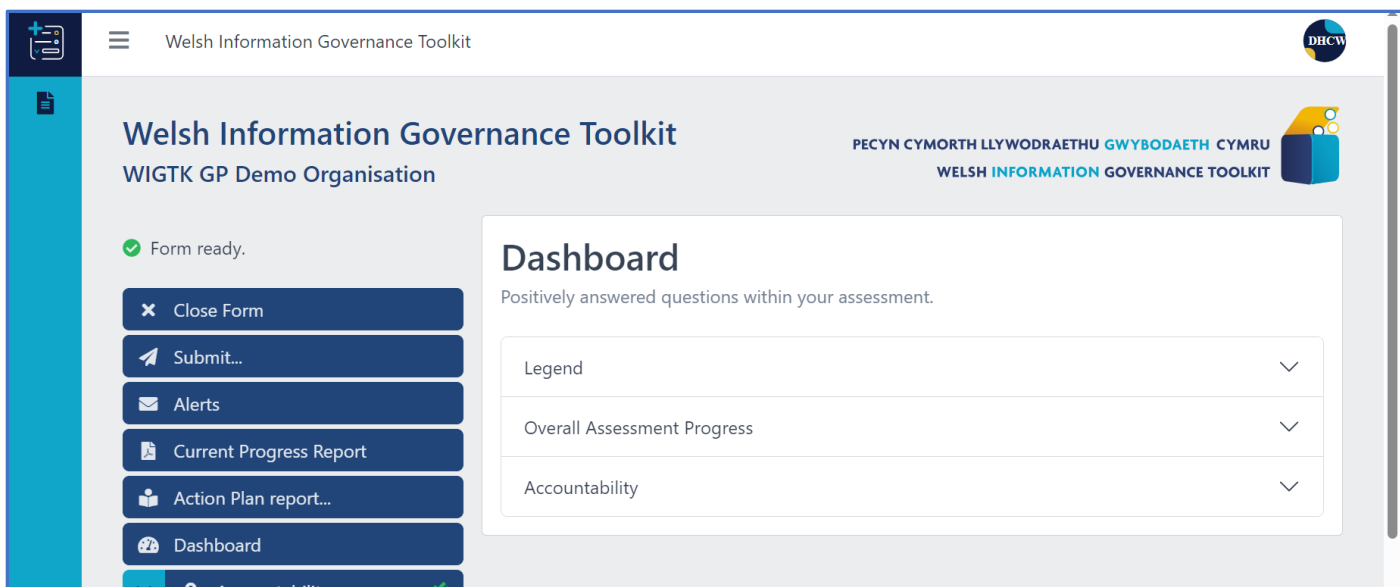


Image 7: Form Launch and Navigation

## Close Form

Click here when you want to close the form.

## Submit...

This opens a pop-up window that details several conditions that must be met before you can submit the form. See the [Submission](#) section below.

## Alerts

The Alerts section displays notifications, as appropriate, for all users. Each time an alert has been sent to the platform it will be displayed above the Dashboard area when the user logs in. The alerts will be displayed in either red, amber, green, or blue depending on the topic and urgency. Examples of alerts you will see may include warnings of planned maintenance, training sessions, latest updates, or submission date reminders.

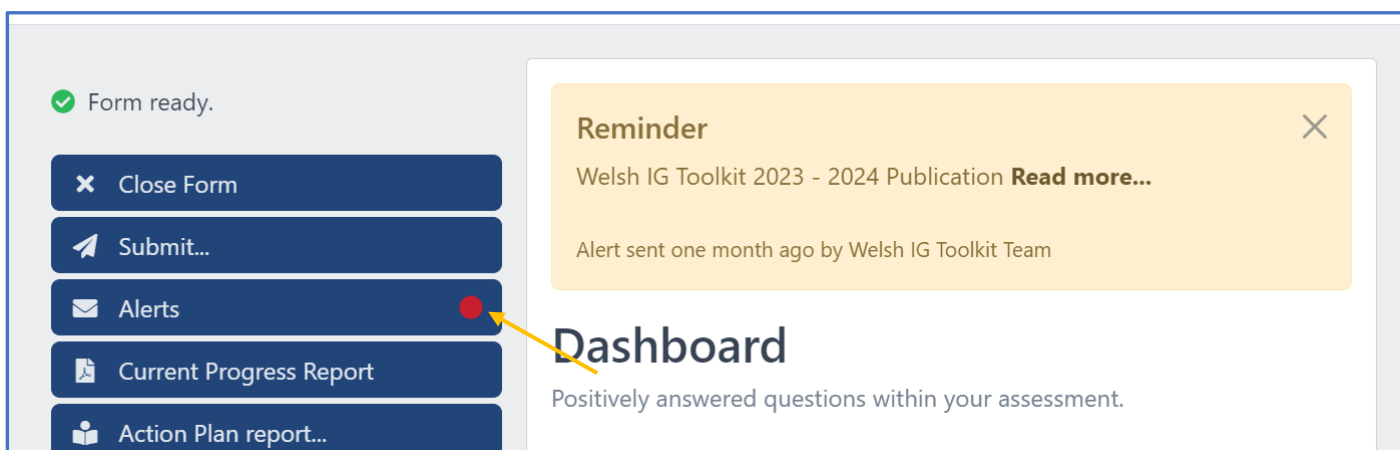


Image 8: Alerts Section

You can dismiss the alert by clicking on the **X**. If a red circle is highlighted on the Alerts tab it is notifying you of alerts that you may have missed. Click into the Alerts tab to view them, once the alerts have been read the red circle will disappear.



## Current Progress Report

You can also download or print a copy of your current IG Toolkit form. There are two ways this can be accessed. From the forms page, click the drop-down button on the launch button and select view. A window will pop up which will present the report on screen, along with the option to download as a PDF.

Alternatively, from within the IG Toolkit form click the 'Current Progress Report' tab on the left-hand side, the report will be downloaded as a PDF.

## Action Plan Report

You can put together your own action plan report within each section of the Toolkit. Once in a section at the bottom of the page is an action plan tab. The action plan is broken down into quarters and priorities giving organisations an opportunity to make notes for improvements to work towards and reminders to update and review current documents.

## Dashboard

The Dashboard provides an overview of the assessments within the IG Toolkit, including where the organisation is achieving and any identified gaps in almost live time.

You can hover over the columns to view the number of questions where the minimum expectations are met, not met, or expectations are exceeded.

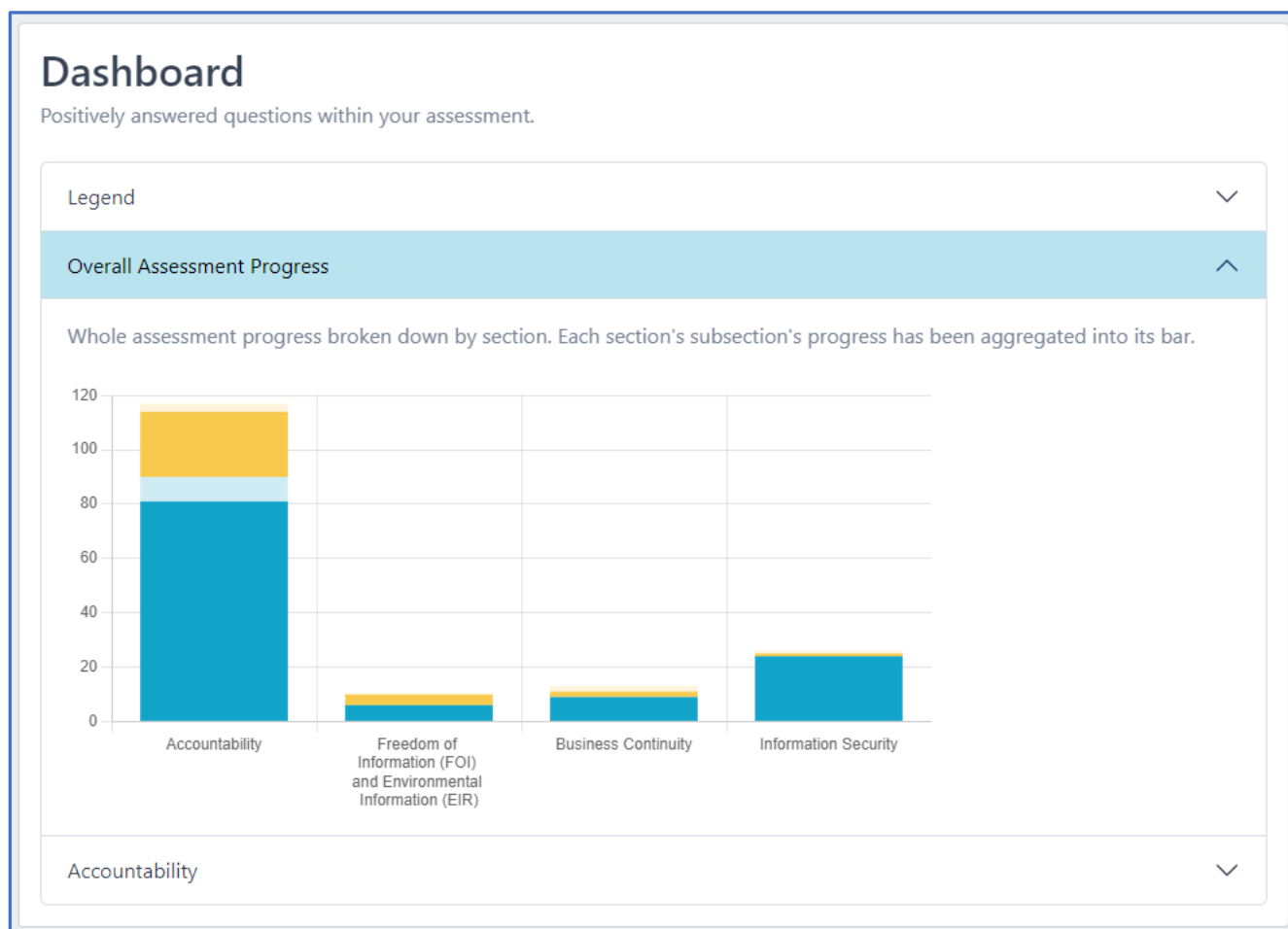


Image 9: Dashboard



Expand the Accountability section to view the progress of each subsection. Hover over the graphs to view the number of questions where the minimum expectations are met, not met, or expectations are exceeded.

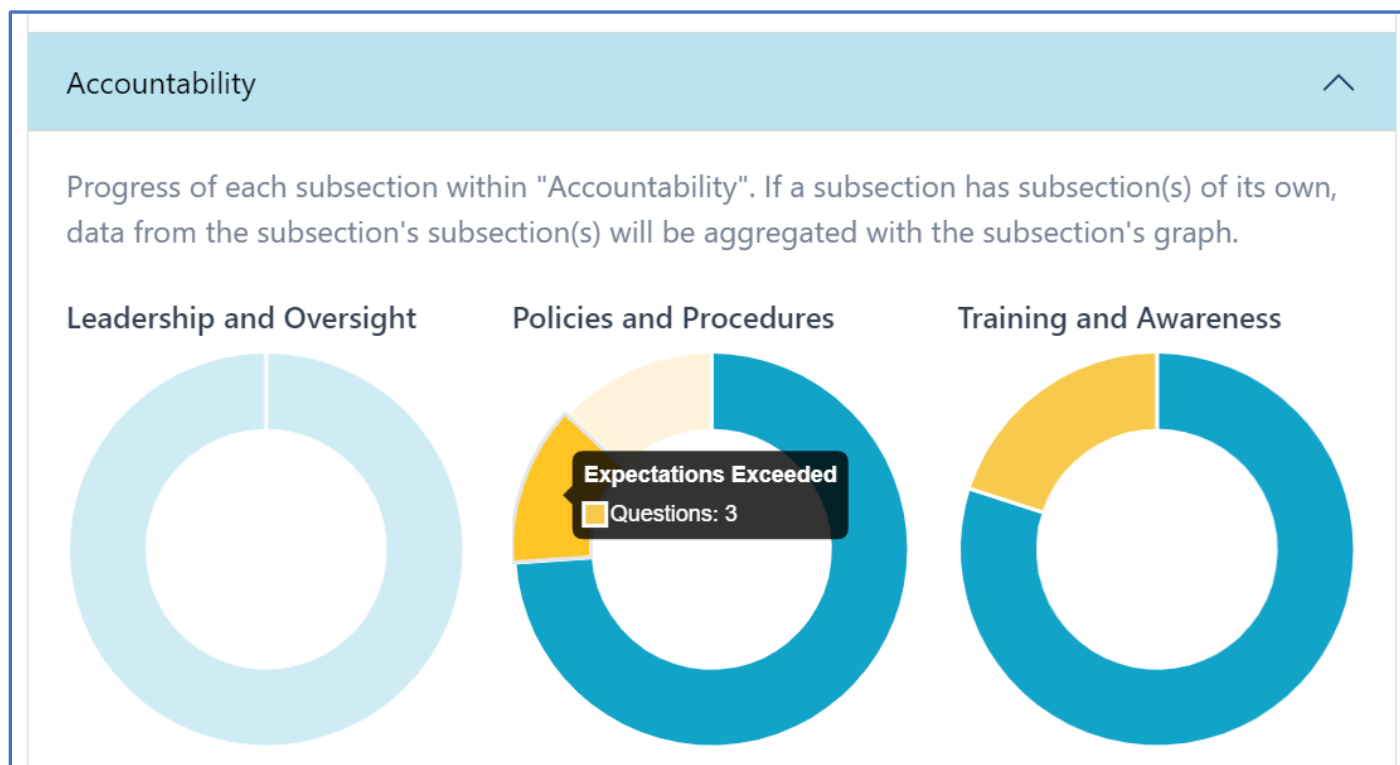


Image 10: Dashboard – Accountability

## Sections and Assessments

The IG Toolkit is broken down into four sections, these sections are indicated by the turquoise tab on the menu and contain the assessments to be completed. The first section, 'Accountability' can be expanded to display several subsections. The other three sections do not contain sub-sections.

When a section or subsection is entered, it automatically becomes locked for that user, no other user will be able to access it until they come out of it. Padlock symbols on the menu identify which section(s) are locked for you, or other users.

Once the [Declaration](#) box is checked for a section a green tick is displayed on the relevant section. The assessments are set out in row groups; these break the form down into smaller segments and allow the user to expand and collapse so that they are only viewing the information required. Key features of the assessment include:

### Minimum Expectations

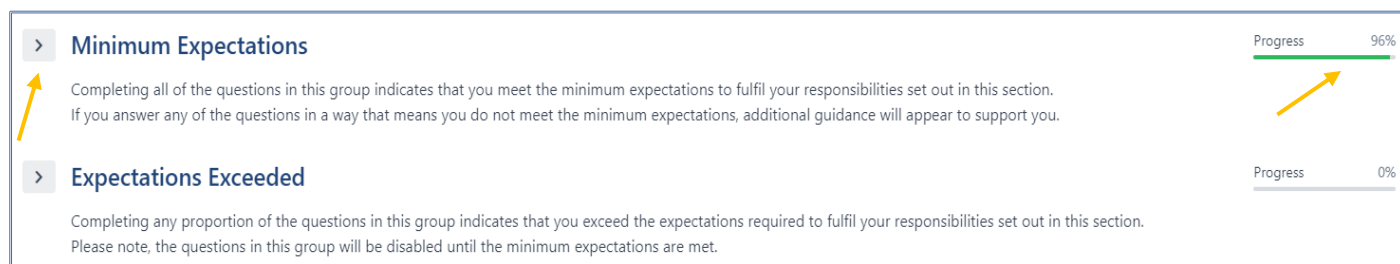
The minimum expectations row group contains the first question set. Select the arrow to expand the row group to view the questions. To meet the minimum expectations, organisations will need to answer all questions within this row group positively. Some questions will require you to upload evidence in support of your answer, a file upload control will appear below the question once it has been answered positively for you to upload your evidence.

If you answer any of the questions in a way which means that you do not meet the requirement, a statement explaining that the organisation has not met the minimum expectations will appear. This statement is for your information only and will not prevent you from submitting your Toolkit.

The questions which appear on the form will differ depending on your organisation type.



You can monitor your progress in meeting the expectations by referring to the progress bar at the top of the row group. This progress bar will only update when a question is answered positively.



The screenshot shows two expectation row groups. The first group, 'Minimum Expectations', has a progress bar at 96% and a yellow arrow pointing to it. The second group, 'Expectations Exceeded', has a progress bar at 0%.

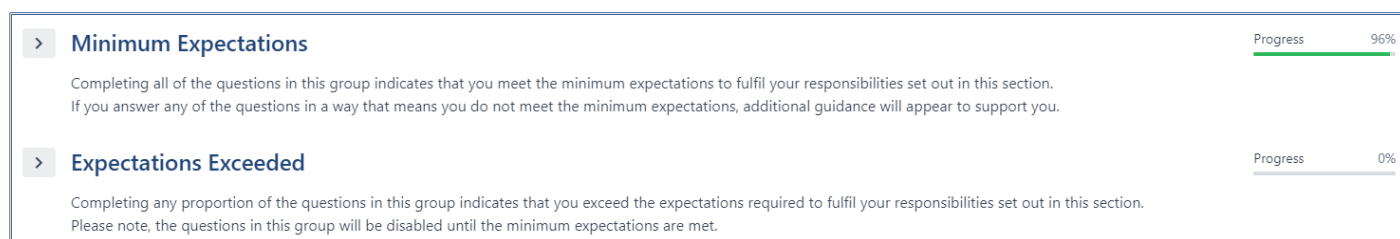
| Group                 | Progress |
|-----------------------|----------|
| Minimum Expectations  | 96%      |
| Expectations Exceeded | 0%       |

Image 11: Expectation Row Groups and Progress

## Expectations Exceeded

The expectations exceeded row group contains an additional question set which is available to organisations once the minimum expectations have been achieved for that assessment. Expectations exceeded allows organisations to demonstrate that they are working above the minimum in that topic area. The controls within the expectations exceeded row group will be 'read only' until the minimum expectations have been achieved. Please note, depending on your organisation type, there may be sections without Expectations Exceeded questions.

It is not envisioned that organisations will answer all of the expectations exceeded questions, especially during the first couple of years, it will however enable organisations to demonstrate progress and allow for year-on-year improvement.



The screenshot shows two expectation row groups. The first group, 'Minimum Expectations', has a progress bar at 96%. The second group, 'Expectations Exceeded', has a progress bar at 0%.

| Group                 | Progress |
|-----------------------|----------|
| Minimum Expectations  | 96%      |
| Expectations Exceeded | 0%       |

Image 12: Expectations row group and progress

## Assessment Questions

The platform has a range of formats that the questions can be asked in. A breakdown of these individual components or 'Controls' are detailed below. There are some questions that are mandatory within the form, these are detailed with a red asterisk. These questions must be answered to submit the Toolkit.

### Radio buttons

The majority of questions within the form are Yes or No radio buttons. Only one of the response options can be selected. Once selected, the response can be changed, however, the control cannot be reverted back to 'unanswered'.

### Checkbox

Checkbox controls require multiple checks as part of one question to be confirmed. All positive answers within the checkbox control must be selected for the control to be considered positive.

### Dropdown



Dropdown controls require an answer from a predetermined list to be selected. Within a dropdown there may be multiple positive answers, only one of the positive answers can be selected for the control to be considered positive.

### Single line text

Single line text controls require a short text response.

An answer should only be inputted in a single line text box where it meets the requirement of the question. Please DO NOT input false positive answers, for example “Not in place, plans to develop”.

### Paragraph

Paragraph controls require a text response.

An answer should only be inputted in a paragraph box where it meets the requirement of the question. Please DO NOT input false positive answers, for example “Not in place, plans to develop”. The control can be expanded by dragging the left-hand bottom corner down.

### Date

Date controls require you to select a date from the calendar. Validation controls may be in place which will restrict the date range you are able to select.

### File upload and Alternative description

Some questions require evidence to be provided in support of a positive answer, the requirement to provide evidence is then mandatory. The ‘Choose File(s)...’ will be displayed on the row beneath the question. You will have the option to select ‘Upload’, ‘Choose Existing’ or ‘Alternative description’.

#### Upload

Click on the Upload option then click on the ‘Browse...’ tab and select the file you require. The selected file will then be displayed, if you have chosen an incorrect file simply click ‘Deselect’ and re-load the correct one.

#### Choose existing

Click on the Choose existing option, the previous five uploaded files will be displayed. Select one of these or start typing key words in the ‘Search for files...’ box and select the required file.

#### Alternative description

If you are unable to upload your evidence, prefer not to or want to expand your answer, simple click on the Alternative description option and start typing in the text box. You can expand the box by dragging down from the bottom right-hand corner of the box.

An answer should only be inputted in the alternative description where it meets the requirement of the question. Please DO NOT input false positive answers, for example “Not in place, plans to develop”.



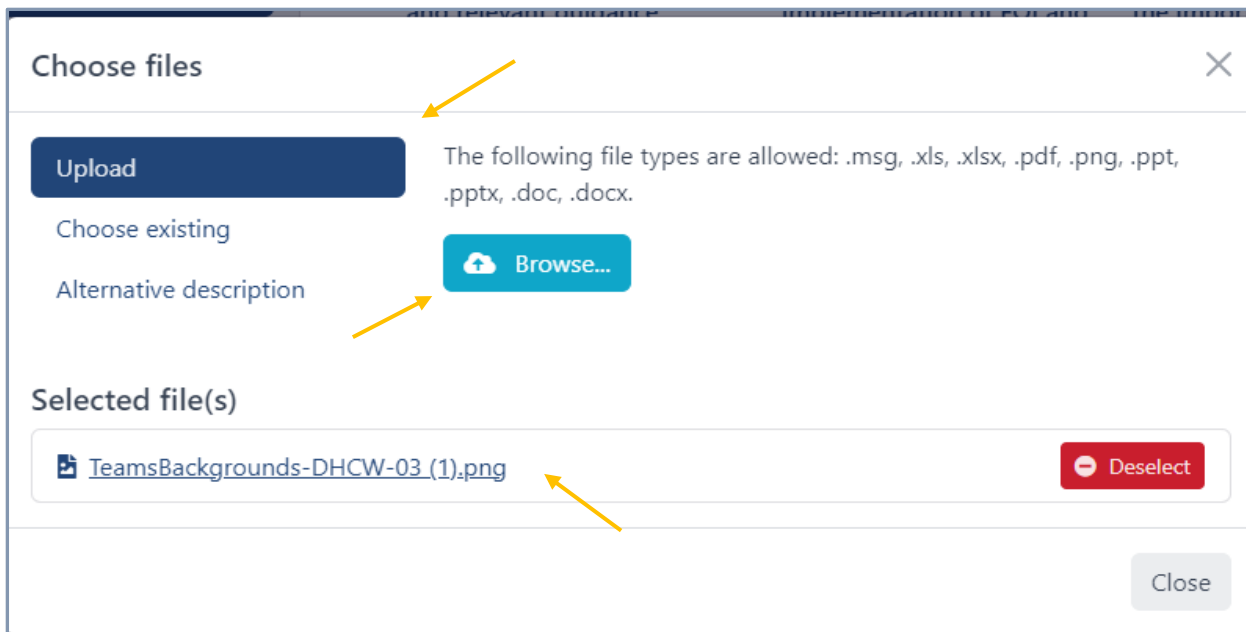


Image 13: File upload modal

## Tooltips

There are multiple Tooltips throughout the assessment, designed to provide additional information to support users in completing the IG Toolkit. There are three types of tooltips, some are available when hovered while others require a click.

- i The Navy Tooltip provides example evidence.
- ? The Yellow Tooltip provides supporting information, including links to guidance and templates to provide support in answering the question.
- i The Turquoise Tooltip provides a link to the legislation, best practice guidance, or ICO's accountability framework to provide an explanation on where the question has come from and why it is being asked.

## IG Action Plan

The IG Action Plan row group, located towards the bottom of each assessment, is designed for any identified priorities to be recorded. You can return to the Action Plan at any time to enter subsequent updates, enabling this function to be used as your improvement or action plan. It is broken down into three priority rows with four quarters in each row.

There is also a notepad within the priorities row group to record any further comments relating to the organisation's priorities and plans.

When clicking on the Action Plan report any sections that have text noted will display on the report. This can be viewed on the screen or downloaded in a PDF report.



IG Action Plan

Inserting your priorities will enable you to generate your IG Action Plan.

| Quarter 1   | Quarter 2  | Quarter 3                | Quarter 4                |
|---|--|--------------------------|--------------------------|
| <p>Priority One (Q1)</p> <p>The document for making sure that records containing personal data are accurate, adequate and not excessive requires reviewing before the end of August 2023.</p> | <p>Priority One (Q2)</p> <p>To review the way the organisation provides training for all staff in the management of all records - To make this part of the starters process.</p> | <p>Priority One (Q3)</p> | <p>Priority One (Q4)</p> |
| <p>Priority Two (Q1)</p>  | <p>Priority Two (Q2)</p>   | <p>Priority Two (Q3)</p> | <p>Priority Two (Q4)</p> |

Image 14: IG Action Plan

## Declaration Control

At the bottom of each assessment section is the Declaration control. The Declaration control requires confirmation that all information within the assessment has been reviewed, is accurate and up to date. The Declaration control will need to be selected on each assessment section in order to submit the Welsh IG Toolkit, even if you have chosen to not answer a section, the Declaration control must be checked to enable Submission.

As assessment answers and evidence remain on the form year on year, the Declaration control is the organisations method of confirming all existing answers and evidence have been thoroughly reviewed and remain valid.

The Declaration control is also what determines the form progress, once selected the form progress will update on the forms page.

## Form Progress

To begin with, the form will appear as 'Not started 0%', as soon as the form is entered, Progress will update to 'In progress 0%'. Progress is derived from the Declaration control within an assessment being selected, it is not reflective of the number of questions answered throughout the form. As each Declaration control is checked, the Progress % will increase. Once all Declaration controls throughout the form have been selected, the form Progress will update to 'In progress 100%'. Once submitted, the date of the submission will appear in green within the 'Last submitted' column, indicating that the form has been submitted for the current submission period.

The 'Last updated' field displays the last time the form was saved by any user accessing the form for the organisation.



| Name                                 | Organisation       | Submission date ⓘ | Last submitted | Progress ⓘ  | Last updated ⓘ |        |
|--------------------------------------|--------------------|-------------------|----------------|---|----------------|--------|
| Welsh Information Governance Toolkit | Cardiff & Vale UHB | 01-Aug-2023       | 21-Dec-2022    | In progress <span style="width: 100%;"></span> 100% | Now            | Launch |

Image 15: Form progress

## Submission

Each organisation is required to submit the IG Toolkit once per submission period. The submission period is determined by your organisation type and can be viewed in the 'Submission date' column in the Forms table.

In order to submit the form, the following conditions must be met

- There are no validation errors
- I'm an Organisation Administrator or User
- I've answered all required questions across all Sections
- I've checked all of the declaration controls
- I haven't exceeded my maximum submissions for the current submission period
- No other user is currently accessing the form and I'm currently on the Dashboard page

To monitor your progress in meeting the conditions, select 'Submit', in the page that follows the status of each condition will be shown. Once all the conditions have been met, the 'Submit' button within the modal will enable. Select 'Submit' within the modal to submit the form.

**Submit form** [Close]

You'll be able to submit your form for the current submission period (01-Apr-2023 to 31-Mar-2024) once all of these conditions have been met:

- ✓ There are no validation errors
- ✓ I'm an Organisation administrator or a User
- ⚠ I've answered all required questions across all Sections
- ⚠ I've checked all of the Declaration controls
- ✓ I haven't exceeded my maximum submissions for the current submission period
- ✓ No other user is currently accessing this Form and I'm on the Dashboard page

[Close] [Submit]

Image 16: Submission Modal – Conditions not met

**Submit form** [Close]

You'll be able to submit your form for the current submission period (01-Apr-2023 to 31-Mar-2024) once all of these conditions have been met:

- ✓ There are no validation errors
- ✓ I'm an Organisation administrator or a User
- ✓ I've answered all required questions across all Sections
- ✓ I've checked all of the Declaration controls
- ✓ I haven't exceeded my maximum submissions for the current submission period
- ✓ No other user is currently accessing this Form and I'm on the Dashboard page

[Close] [Submit]

Image 17: Submission Modal – Conditions met, Submit enabled

Organisations will be able to access the IG Toolkit form all year round to enable updates to be made at any time, however, the organisation will only be able to submit the IG Toolkit once per submission period. If you attempt to make changes once you have Submitted the form, progress will revert to 0% and all Declaration controls will reset to unchecked, this will not impact your submission.



Once the Submission period closes the IG Toolkit will re-open the following day and the form 'Progress' will revert to 'not started'. All answers, including uploaded documentation, will remain on the form until Users choose to update, replace, or delete them, unless there is a change to the question.

During the following 12-month period, organisations will need to thoroughly review the carried over answers and evidence. Once updated as appropriate, the respective Declaration controls will need to be re-checked to confirm all answers are accurate and up to date for that submission period.

